

PATENT
0505-4015

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Christopher KEITH

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Filed : March 8, 2001

SEP 18 2001

Group Art Unit: 2165

Examiner Technology Center 2100

Serial No.: 09/802,163

Confirmation No.: 1129

Title: AUTOMATED FIRST LOOK AT MARKET EVENTS

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98. The items listed on Form PTO 1449, a copy of which is enclosed, may be pertinent to the above-referenced application and are made of record to assist the Patent Office in its examination of this application. The Examiner is requested to fully consider the items and independently ascertain their teaching.

No fee is due since this Information Disclosure Statement is being filed

☒ before the mailing date of a first Office Action on the merits.

Respectfully submitted,

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Brenda Pomerance
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SEP 18 2001

Technology Center 2100



Substitute Form PTO 1449

Technology Center 2100

INFORMATION DISCLOSURE STATEMENT

Sheet 1 of 2

Application No.	09/802,163
Filing Date	March 8, 2001
Inventor	Christopher Keith
Group Art Unit	2165
Examiner	TBA
Atty. Docket No.	0505-4015

U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee	Publication Date MM-DD-YYYY	Relevant text or Figs.
		Number	Kind Code			
	AA	6134535		Belzberg	10-17-2000	
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Examiner Initials	Cite No.	Foreign Patent Documents			Name of Patentee or Assignee	Publication Date MM-DD-YYYY	Relevant text or Figs.	Trsl. (✓)
		Office	Number	Kind Code				
	BA	WO	00/63814	A1	Lava Trading	10-26-2000		
	BB	WO	01/02930	A2	Globenet Capital Corporation	01-11-2001		

Examiner Signature		Date Considered	
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INFORMATION DISCLOSURE STATEMENT

Sheet 2 of 2

Application No.	09/802,163
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Inventor	Christopher Keith
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OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	AUTHOR, title, magazine, date, pages, publisher, city where published	Trsl. (v)
	CA	"AuctionBot", 9 pages from http://auction.eecs.umich.edu , printed March 30, 2000	
	CB	MAES et al., "Agents that Buy and Sell: Transforming Commerce as we Know It", Comm. ACM, March 1999, vol. 42, no. 3	
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	CE	MERTZ et al., "The Handbook of Investment Technology," Chapters 7, 8, and 15	
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	CN	e-mail from lab_rat@listserv.redherring.com, dated February 8, 2001, Subject: LAB RAT: Smart technology trounces traders, pages 1-5	

Examiner Signature	/Clement Graham/	Date Considered	12/07/2008
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CERTIFICATE OF MAILING

I hereby certify that the following attached paper(s) and/or fee

1. Information Disclosure Statement
2. PTO Form 1449
3. Copies of 37 references
4. Return receipt postcard

are being deposited with the United States Postal Service with sufficient postage as first class mail under 37 C.F.R. § 1.8 on the date indicated below in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231.

Date: September 14, 2001

Brenda Pomerance
Brenda Pomerance

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